



The Board of Elections in the City of New York

List Maintenance

Remedial Action Plan Annual Report

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Annual Report of List Maintenance Activities for January 2019 through December 2019

List Management Managers and Supervisors Reports for Quality Control

Throughout the year, the List Maintenance Managers reviewed several reports on a daily and weekly basis to audit and monitor Borough list maintenance work. List Maintenance borough supervisors also monitored workflow throughout the day and reviewed related reports on a daily and weekly basis.

The performance of staff members conducting list maintenance functions were evaluated on an ongoing basis and appropriate remedial action was taken, up to and including removal from the unit, if necessary.

Over the course of 2019, remedial actions were taken against ten staff members. These employees were retrained in specific targeted areas of list maintenance by pointing out the errors and having sample template training done over a period of time. After targeted training was completed, one staff member was ultimately transferred out of the department.

Unscheduled Site Visits

Following the November 5, 2019 General Election, unscheduled and unannounced visits to the Board's Borough Offices were conducted by the List Maintenance Managers from November 7, 2019 to November 14, 2019 to observe the validation process of affidavit ballot envelopes. During these visits the List Maintenance Managers observed the borough staff conducting its work in accordance with established Board procedures in real time, while also affording the staff the ability to ask any questions or voice concerns and receive an immediate response and/or remedial guidance. In addition, tracking reports were examined to review the performance accuracy of List Maintenance employees' work product during this task.

- **Bronx Borough Office Site Visit – November 7, 2019**

List Maintenance Managers met with Deputy Chief Clerks¹, List Maintenance Supervisors, Voter Registration Supervisors and Absentee Supervisors. We observed the staff processing Affidavit Ballot Envelopes as per NYSBOE guidelines and conducting the inquiry process, using both the AVID system and the NYSVoter Lookup. List Maintenance Managers also addressed questions with regard to NYSVoter Lookup and Universal Transfers.

- **Queens Borough Office Site Visit – November 8, 2019**

List Maintenance Managers met with the Chief Clerk and List Maintenance Supervisors and observed staff processing Affidavit Ballot Envelopes as per NYSBOE guidelines and conducting the inquiry process using both the AVID system and the NYSVoter Lookup. List Maintenance Managers also addressed questions with regard to NYSVoter Lookup and Universal Transfers.

¹ The Bronx office of the BOE is headed by two Deputy Chief Clerks

- **Staten Island Borough Office Site Visit – November 8, 2019**

List Maintenance Managers met with the List Maintenance Supervisors as well as the Voter Registration Supervisor and observed staff processing Affidavit Ballot Envelopes as per NYSBOE guidelines and staff conducting the inquiry process using both the AVID system and the NYSVoter Lookup. List Maintenance Managers also addressed questions with regard to NYSVoter Lookup and Universal Transfers.

- **Manhattan Borough Office Site Visit – November 12, 2019**

List Maintenance Managers along with the List Maintenance Supervisors observed staff processing Affidavit Ballot Envelopes as per NYSBOE guidelines and conducting the inquiry process using both the AVID system and the NYSVoter Lookup. List Maintenance Managers also addressed questions with regard to NYSVoter Lookup and Universal Transfers.

- **Brooklyn Borough Office Site Visit – November 14, 2019**

List Maintenance Managers met with the List Maintenance Supervisors and observed staff processing Affidavit Ballot Envelopes as per NYSBOE guidelines and staff conducting the inquiry process using both the AVID system and the NYSVoter Lookup. List Maintenance Managers also addressed questions with regard to NYSVoter Lookup and Universal Transfers.

Upgrades to Voter Registration Database (AVID)

List Maintenance Managers along with List Maintenance Borough Supervisors, List Maintenance Management Information Systems (“MIS”) Coordinator, MIS staff, the Board’s consultant, Bob Smith, and the Board’s Technical Writer helped develop the new AVID system and training procedures. The list maintenance procedures are a culmination of several AVID upgrades. Once each upgrade was completed, training in each borough was conducted accordingly. Below is the process:

- **January 3, 2019** - List Maintenance Managers met with List Maintenance Borough Supervisors, MIS Coordinator, the Board’s Technical Writer, and Board’s consultant, Bob Smith, to discuss updated features, policies and functions for AVID 6.5.
- **April 15, 2019** - List Maintenance Managers met with List Maintenance Borough Supervisors, MIS Coordinator, the Board’s Technical Writer, and Board’s consultant, Bob Smith, to discuss updated features, policies and functions for AVID 6.5 and training required for borough staff.
- **April 30, 2019** - List Maintenance Managers met with List Maintenance Borough Supervisors, MIS Coordinator, the Board’s Technical Writer, and Board’s consultant, Bob Smith, to continue discussing updated features, policies and functions for AVID 6.5 and also continued discussions regarding training for borough staff.
- **June 21, 2019** - List Maintenance Managers met with List Maintenance Borough Supervisors, MIS Coordinator, and Board’s consultant, Bob Smith, for targeted NYSVoter lookup training.

- **July 11, 2019** – NYSBOE staff conducted NVRA training with all borough List Maintenance supervisors as well as AVID Supervisors. General Office attendees - List Maintenance managers, MIS manager, Voter Registration staff and the Deputy Executive Director. Upon completion of the training session with the State Board, List Maintenance Managers conducted an internal meeting with the List Maintenance Borough Supervisors to discuss updated features, policies and functions for AVID 6.5.
- **August 12, 2019** - List Maintenance Managers met with List Maintenance and Voter Registration Borough Supervisors, MIS Coordinator, and Board's consultant, Bob Smith, to discuss updated features, policies, and functions for AVID 6.5. Supervisors were directed to have their staff start using the training module on our test system to ensure all functions were working in conjunction with our procedures.
- **August 13, 2019** - List Maintenance Managers met with Absentee Borough Supervisors, MIS Coordinator, and Board's consultant, Bob Smith, to discuss updated features, policies, and functions for AVID 6.5. Supervisors were directed to have their staff start using the training module on our test system to ensure all functions were working in conjunction with our procedures.
- **August 19 - 23, 2019** – Citywide testing of the training module begins.
- **December 6, 2019** – NYSBOE staff conducted its NYSVoter Audit. City Board staff and consultants attended per NYSBOE direction. NYSBOE notified the City Board that its voter registration system is in compliance and the State Board determined that it successfully completed the audit process.
- **December 10, 2019** - List Maintenance Managers met with List Maintenance Borough Supervisors, MIS Coordinator, and Board's consultant, to discuss and review updated features, policies and functions for AVID 6.5.
- **December 17, 2019** - The Commissioners of Elections in the City of New York, in an open public meeting, adopted the List Maintenance Procedures which reflect all of the changes mandated by State Law, the Consent Decree/Comprehensive Remedial Plan, as well as all of the system changes and updates made to the Board's Voter Registration System AVID, from **February 2017 to December 2019**.
- **December 19 - 23, 2019** – Additional AVID 6.5 setup, testing, and training for citywide list maintenance staff.
- **December 23, 2019** – AVID 6.5 launched.

As each new stage of the AVID system upgrades and enhancements are completed, each of Borough Supervisors train staff to ensure compliance. The December 17, 2019 adoption of the List Maintenance Procedures by the Commissioners is the culmination of a series of AVID changes that began in May 2018. It must be noted that beginning in January 2019, the Governor and State Legislature enacted many changes and modifications to the New York State Election Law that required additional system changes resulting in a delay to the release of the most recent version of AVID. Upon the enactment of each legislative modification, the List Maintenance Managers and other staff revised the draft List Maintenance Procedures accordingly for review by the Board's Office of the General Counsel before submission to the Commissioners for their

review and approval. With the Commissioners' action, a training session was conducted with the Borough List Maintenance Supervisors to review all changes.

Complaint Intake Procedures

- Currently, the Board tracks daily voter complaints manually. From May 2019 through December 2019, the board received 1,052 complaints citywide that resulted in changes to the voter's record. Each change was investigated and recorded by using the Board's Voter Correction form. This form is scanned into our AVID system and attached to the voter's record before any changes are made. Once completed, the work is then sent to a quality queue for review and bipartisan approval.
- All complaints are logged into a tracking spreadsheet by the borough supervisors and reviewed weekly by the list maintenance managers to check corrections. Any errors on a voter's record may be tracked to a specific employee to ensure compliance with proper list maintenance procedures and to determine if remedial training is necessary.
- In order to improve the handling of such complaints the Board's staff has been in collaborating with both Zendesk and Indigov representatives regarding the development and implementation of a new automated complaint tracking system that will provide a modern, secure, efficient, and easy to use digital solution to improve the process. The system will track all voter complaints from receipt to resolution and, if necessary, send reminders to staff if an issue has yet to be satisfactorily resolved. The system will also provide valuable data and reports concerning the nature of the complaints, actions taken by staff to rectify same, and to determine the cause of any issues. This will allow staff to determine how the error occurred – *i.e.*, BOE ministerial error, poll worker, USPS, or voter. In 2019 the Board procured 24 licenses for use of the system, which is being customized to meet the Board's needs. It is anticipated that four licenses will be used by staff in the General Office and four in each borough office) for citywide implementation of the new system.
- Zendesk has added a new feature – the “Congress on a Constituent Relationship Management” tool. Indigov is a strategic consulting and software development firm that specializes in custom application development that extends the functionality of Zendesk Support to adapt it for governmental clients.
- Indigov's work with the US Congress, the US Air Force and the Michigan State Legislature make it an ideal candidate to execute an optimized implementation of Zendesk for the NYC BOE.
- Board staff has conducted several conference calls with the consultants from both Zendesk and Indigov. During these calls, the consultant from Indigov assisted in developing the most effective solutions for managing and addressing voter complaints. Indigov is tasked with building and tailoring the system to best address the Board's needs. Upon completion, in-person training will be scheduled to finalize the set-up and to help implement the system in each borough office.

New/Revised NVRA procedures and/or sections of New York Election Law

- **16 year old Pre-Registration**

On January 24, 2019, the Governor signed a bill allowing 16 year olds to pre-register in the state of New York beginning on January 1st 2020. The NYC board had to update its voter registration forms and the AVID system to allow a voter to fill out a proper registration form and have the system accept the new form as provided for in Election Law, § 5-210(g).

- **Universal Statewide Transfers**

On January 24, 2019, the Governor signed a bill that when a Board of Elections receives notice that a voter on the statewide list has moved to an address in such Board of Elections' county or city, the Board of Elections shall transfer the voter to the new address and send a transfer notice as provided for in Election Law, §§ 5-208(1) & (5).

- **Change of Enrollment**

On September 26, 2019, the Governor signed a bill that would change the deadline for party enrollment. In effect, a party enrollment change takes effect immediately up until February 14th. The exception is a change of enrollment filed between February 15th and seven days after the June primary. The changes of enrollment filed in this period will take effect on the 7th day after the June primary as provided for in Election Law, section 5-304(3).

Report on Each Election during the Prior Calendar Year (broken down by borough)

The yearly statistical data that the Board is required to exchange was provided in Excel Format as part of the Board's March 15th submission. The report also included an explanation of the various fields (*see* attached Spreadsheet). A breakdown of the data can also be found in the attached report titled NYC Yearly Registration Stats.